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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/653,610      | 08/31/2000  | Thomas E. Saulpaugh  | 5181-70500          | 4144             |

7590 08/10/2004  
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EXAMINER

NGUYEN, QUANG N

ART UNIT PAPER NUMBER

2141

DATE MAILED: 08/10/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/653,610

Applicant(s)

SAULPAUGH ET AL.

Examiner

Quang N. Nguyen

Art Unit

2141

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 01 July 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-51 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-51 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 31 August 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- ☐ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- ☐ Notice of Informal Patent Application (PTO-152)
- ☐ Other: \_\_\_\_\_

***Detail Action***

1. This Office Action is in response to the Amendment filed on 07/01/2004. Claim 40 has been amended. Claims 1-51 are presented for examination.

***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

**3. Claims 1, 18 and 35 is rejected under 35 U.S.C. 102(e) as being anticipated by He et al. (US 6,088,451), herein after referred as He.**

4. As to claim 1, He teaches a method for accessing a service in a distributed computing environment, comprising:

a client receiving a capability credential (*i.e., a list of user credentials retrieved from the registration database, enclosed in a credential ticket and sent back to the user in a response message*), wherein said capability credential indicates that the client is allowed to access a portion of a first service's capabilities (He, C18:L34 - C19:L8);

the client using said capability credential (*i.e., the received credential ticket*) to request an access interface document to access the first service (*to access a specified network element 104 via a pull down menu*) (He, C20:L14 - C21:L22);

the client receiving said access interface document, wherein said access interface document comprises an interface for accessing only said portion of the first service's capabilities (*i.e., once in authorization is OK, the user is permitted to access pull down menus to identify those network elements to which is allowed to access*); and

the client using the interface from said access interface document to access a capability from said portion of the first service's capabilities (*i.e., the user can make an access request by selecting/clicking on one of the network elements listed by the pull-down menu*) (He, C26: L58-65).

5. Claim 18 is a corresponding client device claim of method claim 1; therefore, it is rejected under the same rationale.

6. Claim 35 is a corresponding carrier medium claim of method claim 1; therefore, it is rejected under the same rationale.

***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. **Claims 2-17, 19-34 and 36-51 are rejected under 35 U.S.C. 103(a) as being unpatentable over He, in view of Pulliam et al. (US 6,609,108), herein after referred as Pulliam.**

9. As to claim 2, He teaches using said capability credential to request an access interface document as in claim 1, but does not explicitly teach sending an advertisement request message in a data representation, wherein said advertisement request message includes said capability credential.

In the related art, Pulliam teaches an online shopping communication schema for communicating online orders, wherein a message client 924 (Fig. 10) is a multi-threaded HTTP process that provides the required functions to receive the XML formatted document (*i.e.*, *pull-down lists of makes and models as an access interface document to access to those makes and models*), then generates and sends XML messages and application credentials to and from the locate server; and the listener 902 of the server 821 (Fig. 9) accepts messages and provides support for authenticating whom the request is from using private key infrastructure (PKI) encrypted user credentials to allow or deny access to specific functions and data sets supported by the server based on the requestor's identity/credentials (Pulliam, C14: L34-45 and C15: L38-42).

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to combine the teachings of He and Pulliam to request an access interface document by sending an advertisement request message in a data representation, wherein said advertisement request message includes said capability credential since such methods were conventionally employed in the art to submit request messages along with attached client/user's credentials to the security system for authentication requirement to obtain access to protected information and service.

10. As to claim 3, He-Pulliam teaches the method of claim 2, wherein said data representation language is eXtensible Markup Language (XML) (Pulliam, C16: L40-50).

11. As to claim 4, He-Pulliam teaches the method of claim 2, further comprising in response to receiving said advertisement request message, generating and sending an advertisement request response which includes a custom advertisement according to said portion of the first service's capabilities that the client is allowed to access (*i.e., generating pull-down menus to identify those capabilities to which the client is allowed to access*) (He, C26: L58-65 and Pulliam, C13: L34-40).

12. As to claim 5, He-Pulliam teaches the method of claim 4, wherein said custom advertisement specifies an XML schema defining messages to be sent to and from the first service (*i.e., the network element/sever*) (Pulliam, C15: L39-43 and C16: L40-50).

13. As to claim 6, He-Pulliam teaches the method of claim 1, further comprising the client receiving a protected advertisement for the first service, wherein said protected advertisement provides an address (*i.e., through message exchanges with the authentication server 202, the user authenticates his/her identify to the network and obtains the authentication ticket that contains, or redirects the user to, the address of credential server 204*) to request said security credential, but does not provide said access interface document to access the service. (He, C17: L55-67 and C18: L1-23).

14. As to claims 7-10, He-Pulliam teaches the method of claim 6, further comprising the client sending a request for said security credential to said address for an authentication service that determines a level of capabilities of the first service that



client is authorized to access (*i.e., the user sends a message to the credential server 204 to request for a list of the user credentials*) and generates said security credential to grant access for the client to said portion of the first service's capabilities (*i.e., upon receiving the request message, the credential server 204 retrieves information from the authentication ticket and based on the user identifier, the credential server 204 will retrieve the list of user credentials from the registration database 210 and enclose the list in a credential ticket to send back in a response message to the user*) (He, C18: L57-67 and C19: L1-31).

15. As to claim 11, He-Pulliam teaches the method of claim 6, wherein said protected advertisement further provides an address (*i.e., through message exchanges with the credential server 204 using the authentication ticket, the user obtains the credential ticket that contains, or redirects the user to, the address of network element access server 206*) to request said access interface document to access the first service, wherein said using capability credential to request an access interface comprises sending an advertisement request message to said address to request said access interface document (He, C18: L57-67 and C19: L1-31).

16. As to claim 12, He-Pulliam teaches the method of claim 6, wherein receiving said protected advertisement from a space service (*i.e., "realm" or network 106 of Fig. 2*), wherein said space service comprises protected advertisements for a plurality of services (*i.e., comprises plurality of different organizations on different types of network*

*elements 104*) including the first service (*the specified network element 104*), wherein each protected advertisement specifies an address (*address of the network security server NNS 208*) for request a security credential to allow access to a corresponding service (He, C3: L4-9, C14: L62-67 and C15: L1-28).

17. As to claim 13, He-Pulliam teaches the method of claim 1, wherein said access interface document comprises a schema (*i.e., XML schema*) defining messages for accessing said portion of the first service's capabilities, wherein said using the interface from said access interface document to access a capability (*i.e., using the pull down list to access available information/services*) comprises sending a message according to said schema to the first service (Pulliam, C16: L40-50).

18. As to claim 14, He-Pulliam teaches the method of claim 13, wherein said message includes said capability credential (*i.e., the list of user credentials contained in the credential ticket*), the method further comprising the first service (*i.e., the network element access server 206*) using said capability credential to authenticate said message as from the client (He, C20: L28-67 and C21: L1-13).

19. As to claim 15, He-Pulliam teaches the method of claim 1, wherein said access interface document comprises a schema (*i.e., XML schema*) defining messages for accessing said portion of the first service's capabilities, wherein the client using said access interface document to construct a message gate for sending messages to the

first service (*i.e.*, a message client 924 provides the required functions to receive the XML formatted document, then generates and sends XML messages and application credentials to and from the server), wherein the message gate embeds said capability credential in each message (Pulliam, C15: L38-43).

20. As to claims 16-17, He-Pulliam teaches the method of claim 15, wherein the message gate checks each message for compliance with said message schema, *i.e.*, an XML schema (He, C16: L40-50).

21. Claims 19-34 are corresponding client device claims of method claims 2-17; therefore, they are rejected under the same rationale.

22. Claims 36-51 are corresponding carrier medium claims for method claims 2-17; therefore, they are rejected under the same rationale.

### ***Response to Arguments***

23. In the remarks, applicant argued in substance that

(A) Prior Art does not teach “the client using the interface from the access interface document to access a capability from the portion of the service’s capabilities”.

As to point (A), **He** (US 6,088,451) teaches a method for accessing a service in a distributed computing environment, wherein upon successful completion of the login, the process transitions to an “Authorization O.K.” state 506. Once in authorization O.K. state, the user is permitted to access pull down menus to identify those network elements to which is allowed to access. The user can make an access request by selecting/clicking on one of the network elements listed by the pull-down menu (*i.e., the client using the interface from said access interface document to access a capability from said portion of the first service’s capabilities*) (**He**, C26: L58-65). Hence, Prior Art does teach “the client using the interface from the access interface document to access a capability from the portion of the service’s capabilities”.

(B) In regard to claim 2, applicant argued “Pulliam has nothing to do with a client requesting an interface document comprising an interface usable by the client to access only a portion of a service’s capabilities”.

As to point (B), examiner submits that one cannot show nonobviousness by attacking references individually where the rejections are based on combinations of references. *In re Keller*, 642 F.2d 413, 208 USQP 871 (CCPA 1981); *In re Merck & Co., Inc.*, 800 F.2d 1091, 231 USPQ 375 (Fed. Cir. 1986).

(C) Prior Art does not teach “generating a custom advertisement in response to receiving the advertisement request message, the custom advertisement is generated according to the portion of the service’s capabilities that the capability credential indicates the client is allowed to access, and sending an advertisement request response message to the client, wherein the advertisement request response message includes the custom advertisement as the access interface document”.

As to point (C), **He** teaches upon successful completion of the login (*i.e., the capability credential indicates the client is allowed to access*), the system generates a pull down menus (*i.e., the access interface document*) to identify those network elements to which the user is allowed to access, wherein network elements provide valuable network resources and information (*i.e., a pull down menus of available information/services to which the user is allowed to access such as available makes and models as mentioned by **Pulliam** and/or any other custom advertisements*). Then, the user can make an access request by selecting/clicking on one of the network elements listed by the pull-down menu (**He**, C26: L58-65 and **Pulliam**, C13: L34-40).

(D) Prior Art does not teach or suggest “a custom advertisement that specifies an XML schema defining messages to be sent by the client to the service and messages to be sent from the service to the client to use the portion of the service’s capabilities”.

As to point (D), **Pulliam** teaches a message client is a multi-threaded HTTP process that provides the functions to received the XML formatted document, then

generates and sends XML messages and application credentials to and from the locate server (*i.e., the service or the network element*). Also, the locate processes involves generating and sending XML messages (*i.e., generating and sending custom advertisement XML messages*) such as sending search request XML messages and search response XML messages (**Pulliam**, C15: L39-43 and C16: L40-50).

(E) Prior Art does not teach or suggest "the client receiving a protected advertisement for the service, wherein the protected advertisement provides an address to request the security credential, but does not provide the access interface document to access the service".

As to point (E), **He** teaches through message exchanges with the authentication server 202, the user authenticates his identify to the network and obtains the authentication ticket that contains, or redirects the user to, the address of credential server 204 (*i.e., providing an address to request the security credential*) (**He**, C17: L55-67 and C18: L1-23) which the user will use to communicate/exchange messages with the credential server 204 to obtain the list of user credentials necessary for requesting access to network resources and information such as requesting the pull down menus listing available information/services to which the user is allowed to access (*i.e., for requesting the access interface document to access the service*) (**He**, C18: L39-41 and C19: L32-35).

24. Applicant's arguments as well as request for reconsideration filed on 07/01/2004 have been fully considered but they are not deemed to be persuasive.

25. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

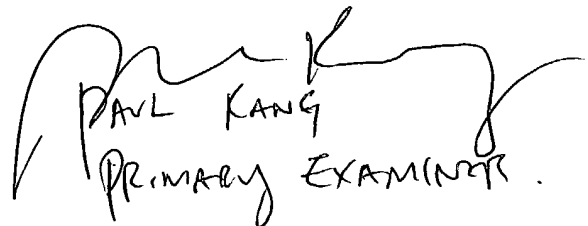
A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

26. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Quang N. Nguyen whose telephone number is (703) 305-8190.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's SPE, Rupal Dharia, can be reached at (703) 305-4003. The fax phone number for the organization is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3800/4700.

Quang N. Nguyen

  
PAUL KANG  
PRIMARY EXAMINER.